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DOCKET No.: MS77398.05/MSFTP357USB

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: **David E. Heckerman, et al.**
Serial No.: **10/808,064**
Filed: **March 24, 2004**
For: **APPARATUS AND ACCOMPANYING METHODS FOR VISUALIZING CLUSTERS
OF DATA AND HIERARCHICAL CLUSTER CLASSIFICATIONS**
Art Unit: **2172**
Examiner: **Unknown**

INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120; or (c) U.S. Patent(s) and published applications(s) since the subject application was filed after June 30, 2003.

Serial No.: 09/104,751 09/845,151
Filing Date: 6/25/98 4/30/01

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) ☐ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☒ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.

(c) ___ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) ___ The required certification is given below, or

(2) ___ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or

(3) ___ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063.

(d) ___ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

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4. Certification (if applicable)

(a) ___ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) ___ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

By Jeffrey R. Sadlowski
Jeffrey R. Sadlowski
Reg. No. 47,914

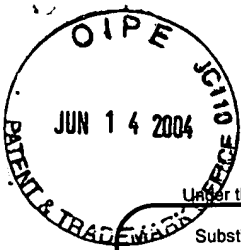
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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Date: 6-11-2004

Jeffrey R. Sadlowski
Jeffrey R. Sadlowski



PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/808,064
Filing Date	March 24, 2004
First Named Inventor	David E. Heckerman, et al.
Art Unit	2172
Examiner Name	Unknown
Attorney Docket Number	MS77398.05/MSFTP357USB

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U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 4,903,305	02-1990	Gillick, et al.	
		US- 5,742,816	04-1998	Barr, et al.	
		US- 5,758,072	05-1999	Filepp, et al.	
		US- 5,768,578	06-1998	Kirk, et al.	
		US- 5,903,892	05-1999	Hoffert, et al.	
		US- 5,911,139	06-1999	Jain, et al.	
		US- 5,913,205	06-1999	Jain, et al.	
		US- 5,915,250	06-1999	Jain, et al.	
		US- 5,953,725	09-1999	Eprahim, et al.	
		US- 5,991,756	11-1999	Wu	
		US- 6,374,367	04-2002	Dean, et al.	
		US- 6,134,541	10-2000	Castelli, et al.	
		US- 5,970,421	10-1999	Ostrovsky	
		US- 5,856,928	01-1999	Yan	
		US- 6,094,654	07-2000	Van Huben, et al.	
		US- 6,088,717	07-2000	Reed, et al.	
		US- 6,038,559	03-2000	Ashby, et al.	
		US- 6,006,230	12-1999	Ludwig, et al.	
		US- 5,920,873	07-1999	Van Huben, et al.	

FOREIGN PATENT DOCUMENTS

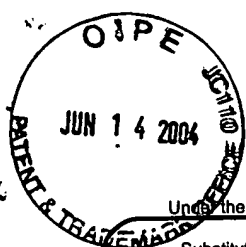
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

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		Number-Kind Code ² (if known)			
		US- 5,873,099	02-1999	Hogan, et al.	
		US- 5,850,516	12-1998	Schneider	
		US- 5,835,905	11-1998	Pirolli, et al.	
		US- 5,832,484	11-1998	Sankaran, et al.	
		US- 5,787,414	07-1998	Mike, et al.	
		US- 5,537,586	07-1996	Amram, et al.	
		US- 5,506,986	04-1996	Healy	
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FOREIGN PATENT DOCUMENTS

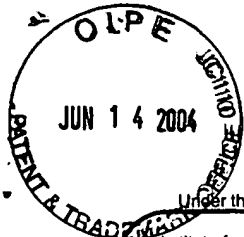
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
		WO 96/28787	09-1996			
		WO 95/34884	12-1995			
		WO 95/31788	11-1995			
		WO 90/04231	04-1990			

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NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		CLIFF BRUNK, et al., MineSet: An Integrated System for Data Mining, Data Mining and Visualization, AAAI Press, 1997	
		CHEESEMAN, et al., Bayesian Classification AutoClass: Theory and Results, Advances in Knowledge Discovery and Data Mining, AAAI Press, 1995	
		DAVID M. CHICKERING, et al., A Bayesian Approach to Learning Bayesian Networks with Local Structure [Web Page] 1997; http://www.lis.pitt.edu/~dsl/UA197/Chickering.UA197.html [Accessed 17 June 1998]	
		RICHARD O. DUDA, et al., Pattern Classification and Scene Analysis, John Wiley and Sons, London, 1973, Chapters 2,4-6, pp. 10-43 and 85-260	
		DAVID E. HECKERMAN, Probabilistic Similarity Networks, MIT Press, 1990, Chapter 3, Theory of Similarity Networks, pp. 53-103	
		RICHARD A. JOHNSON, et al., Applied Multivariate Statistical Analysis, Prentice-Hall, Inc., Englewood Cliffs, New Jersey, 1982, Chapter 11, Clustering, pp. 532-560	
		EDIE RASMUSSEN, Clustering Algorithms, in William B. Frakes and Ricardo Baeza-Yates (eds.) Information Retrieval: Data Structures and Algorithms, Prentice-Hall, Englewood Cliffs, New Jersey, 1992, pp. 419-442	
		ROSS D. SCHACHTER, et al., Simulation Approaches to General Probabilistic Interface on Belief Networks, in Max Herrion et al. (eds.) Uncertainty in Artificial Intelligence 5, Elsevier Science Publishers B.V., North Holland, 1990, pp. 221-231	
		DAVID J. SPIEGELHALTER, et al., Statistical and Knowledge-based Approaches to Clinical Decision-support Systems, with an Application in Gastroenterology, Journal of the Royal Statistical Society, 147:35-77, 1984	
		SEMIO CORPORATION, [Alta Vista Site] 1998; http://www.semio.com	

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